

COUNTY OF SAN DIEGO, CALIFORNIA
BOARD OF SUPERVISORS POLICY

Subject

Compliance with the Countywide Records Management Program

**Policy
Number**

A-129

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Purpose

To provide guidelines for the administration of the Countywide Records Management Program and to clarify the roles and responsibilities of each County Department in the process of maintaining, distributing and destroying records in their possession.

The purpose of a records retention schedule is to provide guidelines for controlling records creation, maintenance, usage and disposition in a legal and professional manner. The consistent use of clearly defined standards, guidelines and procedures will result in effective information retrieval, proper disposal of unneeded records, timely transfer of inactive records to off-site storage and the appropriate preservation of essential operational and historical records.

Background

The 1996-97 Grand Jury Final Report included findings on the County of San Diego's Records Management Program. The Grand Jury commended the County's pro-active approach to the maintenance and preservation of records. It further noted, however, that many County departments have not developed and implemented a records retention schedule and do not follow the County's records management guidelines.

One area of particular concern is the inability to identify a Department's true requirement for records storage space due to the lack of systematic records management and retention scheduling. The Department of General Services Space Management Unit is responsible for addressing and identifying the space needs of County Departments through the Capital Improvement Plan. All space requests are submitted to the Department of General Services annually. Information concerning a Department's compliance with an approved retention schedule is a necessary component of any evaluation of requests for additional space to store records – whether in County-owned or leased space.

Government Code 26883 states, "In addition to the power now possessed by the Board of Supervisors to enter into contracts for audits, the Board shall have the power to require that the County Auditor & Controller shall audit the accounts and records of any department, office, Board or institution under it's control and any district whose funds are kept in the County Treasury. The County Auditor and Controller's report on any such audit shall be filed with the Board of Supervisors..."

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Policy

It is the policy of the Board of Supervisors that County departments and offices comply with the Countywide Records Management Program identified in the Administrative Manual (Item 40-9).

As such, the Board of Supervisors directs the following:

1. All Departments and County Offices will comply with the guidelines and responsibilities outlined in the Chief Administrative officer's Manual Item 40-9 and develop and implement a retention schedule for the operational records in their custody.
2. All requests for additional space will be submitted to General Services with an approved retention schedule and evidence of compliance with the approved schedule as delineated in the County's most recent annual records compliance audit. A justification as to why the records are to be stored in County owned or leased space may also be required.
3. An annual audit (ref: Government Code 26883) will be conducted to ascertain departmental compliance with the adopted records management policies. The audit will include a Countywide survey of all departments. The survey will be administered by the Department of Purchasing and Contracting, Records Management and then forwarded for audit by an external auditor as directed by the Auditor & Controller, Audits Division.

Responsible Departments

1. Department of Purchasing and Contracting
2. Department of General Services
3. Auditor and Controller
4. Elected Officials, Court Administrators and Department Heads

Sunset Date

This policy will be reviewed for continuance by 12-31-2008.

CAO Reference

Department of Purchasing and Contracting
Department of General Services

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Board Action

12/16/97 (32)

3-12-2002 (10)

9/23/03 (10)